

PTO/SB/01 (05-03)

Approved for use through 04/30/2003. OMB 0851-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)

☐Declaration
Submitted
With Initial
Filing

OR

☒Declaration
Submitted after Initial
Filing (surcharge
(37 CFR 1.16 (e))
required)

Attorney Docket Number

XPNT33NP

First Named Inventor

Blauvelt

COMPLETE IF KNOWN

Application Number

10/609,018

Filing Date

06/27/2003

Art Unit

Examiner Name

I hereby declare that:

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

WAVEGUIDES ASSEMBLED FOR TRANSVERSE-TRANSFER OF OPTICAL POWER

(Title of the Invention)

the specification of which

☐

is attached hereto

OR

☒

was filed on (MM/DD/YYYY)

06/27/2003

as United States Application Number or PCT International

Application Number

10/609,018

and was amended on (MM/DD/YYYY)

n/a

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

| Prior Foreign Application Number(s) | Country | Foreign Filing Date (MM/DD/YYYY) | Priority Not Claimed | Certified Copy Attached? | |
|--|---------|-------------------------------------|--------------------------|--------------------------|--------------------------|
| | | | | Yes | No |
| | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

[Page 1 of 2]

This collection of information is required by 37 CFR 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



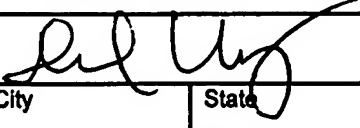
If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Docket No. XPNT33NP

Approved for use through 04/30/2003. OMB 0851-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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DECLARATION — Utility or Design Patent Application

| | | | | | |
|---|--|---|--|--|--|
| Direct all correspondence to: <input checked="" type="checkbox"/> Customer Number or Bar Code Label | | *36394* | | OR <input type="checkbox"/> Correspondence address below | |
| Name | |  | | | |
| Address | | | | | |
| City | | State | | ZIP | |
| Country | | Telephone | | Fax | |
| I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon. | | | | | |
| NAME OF SOLE OR FIRST INVENTOR: | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | | | |
| Given Name (first and middle [if any]) Henry A. | | | | Family Name or Surname Blauvelt | |
| Inventor's Signature  | | | | Date 7/22/03 | |
| Residence: City San Marino | | State CA | | Country US | |
| Mailing Address Xponent Photonics Inc 425 East Huntington Drive | | | | | |
| City Monrovia | | State CA | | ZIP 91016 | |
| Country US | | Citizenship US | | | |
| NAME OF SECOND INVENTOR: | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | | | |
| Given Name (first and middle [if any]) David W. | | | | Family Name or Surname Vernoooy | |
| Inventor's Signature  | | | | Date 7-22-03 | |
| Residence: City Sierra Madre | | State CA | | Country US | |
| Mailing Address Xponent Photonics Inc 425 East Huntington Drive | | | | | |
| City Monrovia | | State CA | | ZIP 91016 | |
| Country US | | Citizenship US | | | |
| <input checked="" type="checkbox"/> Additional inventors or a legal representative are being named on the 1 supplemental sheet(s) PTO/SB/02A or 02LR attached hereto. | | | | | |

COPY

Docket No. XPNT33NP

PTO/SB/02A (05-03)

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| | |
|--------------------|--|
| DECLARATION | ADDITIONAL INVENTOR(S) Supplemental Sheet <div style="text-align: right;">Page <u>1</u> of <u>1</u></div> |
|--------------------|--|

| | | | |
|---|----------|---|----------------|
| Name of Additional Joint Inventor, If any: | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | |
| Given Name (first and middle (if any)) | | Family Name or Surname | |
| Joel S. | | Paslaski | |
| Inventor's Signature <i>Joel Paslaski</i> | | Date <i>7-22-03</i> | |
| Residence: City Alhambra | State CA | Country US | Citizenship US |
| Mailing Address Xponent Photonics Inc 425 East Huntington Drive | | | |
| Mailing Address | | | |
| City Monrovia | State CA | Zip 91016 | Country US |
| Name of Additional Joint Inventor, If any: | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | |
| Given Name (first and middle (if any)) | | Family Name or Surname | |
| Guido | | Hunziker | |
| Inventor's Signature <i>G. Hunziker</i> | | Date <i>7/22/03</i> | |
| Residence: City Altadena | State CA | Country US | Citizenship CH |
| Mailing Address Xponent Photonics Inc 425 East Huntington Drive | | | |
| Mailing Address | | | |
| City Monrovia | State CA | Zip 91016 | Country US |
| Name of Additional Joint Inventor, If any: | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | |
| Given Name (first and middle (if any)) | | Family Name or Surname | |
| | | | |
| Inventor's Signature | | Date | |
| Residence: City | State | Country | Citizenship |
| Mailing Address | | | |
| Mailing Address | | | |
| City | State | Zip | Country |

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.83. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

COPY



STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Henry A. Blauvelt, David W. Vernooy, Joel S. Paslaski, and Guido Hunziker

Application No./Patent No.: 10/609,018 Filed/Issue Date: 06/27/2003

Entitled: WAVEGUIDES ASSEMBLED FOR TRANSVERSE-TRANSFER OF OPTICAL POWER

Xponent Photonics Inc, a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or

2. ☐ an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %
in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.
[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

7-22-03

Date
626-599-8660

Telephone number

Jeffrey S. Rittichler

Typed or printed name
[Signature]

Signature
President and CEO

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

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Please type a plus sign (+) inside this box → ☐

PTO/SB/81 (02-01)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**POWER OF ATTORNEY OR
AUTHORIZATION OF AGENT**

| | |
|------------------------|--|
| Applicati n Number | 10/609,018 |
| Filing Date | 06/27/2003 |
| First Named Inventor | Blauvelt |
| Title | WAVEGUIDES ASSEMBLED FOR TRANSVERSE-TRANSFER OF OPTICAL POWER |
| Group Art Unit | |
| Examiner Name | |
| Attorney Docket Number | XPNT33NP |

I hereby appoint:

☒ Practitioners at Customer Number

36394

 → 
☐ Practitioner(s) named below:

| Name | Registration Number |
|------|---------------------|
| | |
| | |
| | |
| | |

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☒ The above-mentioned Customer Number.

OR

☐ Practitioners at Customer Number

 →

Place Customer
Number Bar Code
Label here

OR

☐ Firm or
Individual Name

Address

Address

City

State

Zip

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).
SIGNATURE of Applicant or Assignee of Record

Name

Jeffrey S. Rittcher, President and CEO, Xponent Photonics Inc

Signature

Date

7-22-03

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ *Total of _____ forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

COPY

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ASSIGNMENT OF APPLICATIONDocket Number (Optional)
XPNT33NP

Whereas, I/We, David W. Vernoooy of Sierra Madre, CA, hereafter referred to as applicant, have invented certain new and useful improvements in WAVEGUIDES ASSEMBLED FOR TRANSVERSE-TRANSFER OF OPTICAL POWER

☒ for which an application for a United States Patent was filed on 06/27/2003

Application Number 10 / 609,018

☐ for which an application for a United States Patent was executed on _____, and

Whereas, Xponent Photonics Inc of Monrovia, CA herein referred to "assignee" whose mailing address is 425 East Huntington Drive, Monrovia CA 91016 is desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of ten dollars (\$ 10), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 22nd day of July, 2003
at Monrovia, California

State of CALIFORNIA
County of LOS ANGELES

SS:

Before me personally appeared said DAVID VERNOOY
and acknowledged the foregoing instrument to be his free act and deed this 22nd
day of July, 2002.

Seal



PAMELA STOCK
Comm. # 1417500
NOTARY PUBLIC - CALIFORNIA
Los Angeles County
My Comm. Expires May 12, 2007

[Signature]
(Signature)

[Signature]
(Notary Public)

Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below.

* ☒ Total of 4 forms are submitted.

Burden Hour Statement: This form is estimated to take 0.1 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner of Patents and Trademarks, Washington, DC 20231.

COPY

ASSIGNMENT OF APPLICATION

Docket Number (Optional)

XPNT33NP

Whereas, I/We, Henry A. Blauvelt of San Marino, CA, hereafter referred to as applicant, have invented certain new and useful improvements in WAVEGUIDES ASSEMBLED FOR TRANSVERSE-TRANSFER OF OPTICAL POWER

☒ for which an application for a United States Patent was filed on 06/27/2003

Application Number 10 / 609,018.

☐ for which an application for a United States Patent was executed on _____, and

Whereas, Xponent Photonics Inc of Monrovia, CA herein referred to "assignee" whose mailing address is 425 East Huntington Drive, Monrovia CA 91016 is

desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of ten dollars (\$ 10), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 28th day of July, 2003
at Monrovia, California

State of CALIFORNIA

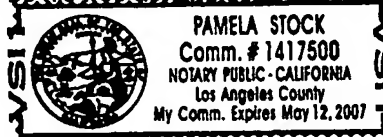
County of Los Angeles

SS:

Before me personally appeared said Henry Blauvelt

and acknowledged the foregoing instrument to be his free act and deed this 28th
day of July, 2003.

Seal



(Signature)

(Notary Public)

Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below.

* ☒ Total of 4 forms are submitted.

Burden Hour Statement: This form is estimated to take 0.1 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner of Patents and Trademarks, Washington, DC 20231.

COPY

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ASSIGNMENT OF APPLICATION

Dock t Number (Optional)

XPNT33NP

Whereas, I/We, Guido Hunziker of Altadena, CA, hereafter referred to as applicant, have invented certain new and useful improvements in WAVEGUIDES ASSEMBLED FOR TRANSVERSE-TRANSFER OF OPTICAL POWER

☒ for which an application for a United States Patent was filed on 06/27/2003

Application Number 10 / 609,018

☐ for which an application for a United States Patent was executed on _____, and

Whereas, Xponent Photonics Inc of Monrovia, CA herein referred to "assignee" whose mailing address is 425 East Huntington Drive, Monrovia CA 91016 is

desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of ten dollars (\$ 10), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 22 day of JULY, 20 03
at MONROVIA, CA

State of CALIFORNIA

County of LOS ANGELES

SS:

Before me personally appeared said GUIDO HUNZIKER

and acknowledged the foregoing instrument to be his free act and deed this 22ND
day of JULY, 20 03.

Seal



PAMELA STOCK
Comm. # 1417500
NOTARY PUBLIC - CALIFORNIA
Los Angeles County
My Comm. Expires May 12, 2007

(Notary Public)

Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below.

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COPY

ASSIGNMENT OF APPLICATION

Docket Number (Optional)

XPNT33NP

Whereas, I/We, Joel S. Paslaski of Alhambra, CA, hereafter referred to as applicant, have invented certain new and useful improvements in WAVEGUIDES ASSEMBLED FOR TRANSVERSE-TRANSFER OF OPTICAL POWER

☒ for which an application for a United States Patent was filed on 06/27/2003

Application Number 10 / 609,018

☐ for which an application for a United States Patent was executed on _____, and

Whereas, Xponent Photonics Inc of Monrovia, CA herein referred to "assignee" whose mailing address is 425 East Huntington Drive, Monrovia CA 91016 is

desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of ten dollars (\$ 10), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 22nd day of July, 2003
at Monrovia, California

State of CALIFORNIA

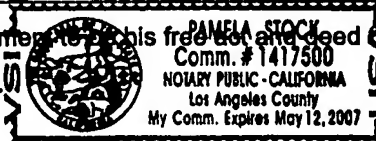
County of Los Angeles

SS:

Before me personally appeared said Joel Paslaski

and acknowledged the foregoing instrument to be his free act and deed this 22nd day of July, 2003

Seal



(Signature)

(Notary Public)

Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below.

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Burden Hour Statement: This form is estimated to take 0.1 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner of Patents and Trademarks, Washington, DC 20231.

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